



Gray Davis, Governor  
State of California  
Business, Transportation and Housing Agency

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980 Ninth Street  
Suite 1800  
Sacramento, CA 95814  
(916) 324-8166 voice  
(916) 327-6352 fax

**To:** Health Care Service Plans, Health Care Provider Organizations,  
and Applicants for Licensure or Authorization

**From:** Department of Managed Care  
(Department of Managed Health Care)  
Brian J. Bartow  
Chief, Licensing Division

**Date:** August 10, 2000

**RE:** Changes to the Process of Filing Applications, Notices of Material Modification, and  
Amendments

The Department of Managed Health Care is implementing a number of changes for processing filings. Most of those changes are internal and should appear seamless to the Health Plans. However, a few changes will require cooperation from the Health Plans to achieve consistency in the treatment of filing submissions and to minimize processing time delays. The ultimate goal of the Department is to create an environment of efficiency surrounding filings.

With that goal in mind, please read the newly implemented changes detailed in the remainder of this Memorandum. These changes are effective immediately.

### **Confidential Treatment of Filings**

In order to give the public reasonable access to pending files, the Department is requiring all persons who submit filings to designate all documents as either "public" or "confidential". The Department will file the submission based on the Plan's determination of confidentiality. If, after careful review of the filing, the Plan's determination is deemed inaccurate, the Department will move the documents to the correct confidential or public location and send a letter to the Health Plan.

### **Incomplete Filing Considerations**

The Department of Managed Health Care receives numerous filings to modify or amend plans. To afford equal treatment to all filing submissions and expedite the submission review process, the Department will return filings where the Plan has not submitted proper documentation. When reasonable, the Department will telephone the Plan to obtain the needed information. The filing will then be considered completed upon receipt of the information. Deadlines will be calculated from the date the additional information is filed<sup>1</sup>. If the Department does not receive the requested information within five business days, the filing will be returned to the Plan with an "Incomplete Filing Form" (example attached) and will be considered "non-filed".

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<sup>1</sup> Documents are considered "filed" when all information is received by the Department and the filing is "date stamped" by the File Clerk.

Under those circumstances where the filing is significantly incomplete, the filing will be returned to the Plan with an "Incomplete Filing Form" (example attached) and will be considered "non-filed". The Health Plans can resubmit the filing once the items noted on the "Incomplete Filing Form" are completed. Upon receipt of the needed information, the filing will be considered a "new" filing and deadlines will be calculated from the date of the resubmission.

**Filing Submission Location**

Please submit Applications for Licensure, Notices of Material Modification, and Amendments to the attention of the Department of Managed Health Care, Licensing Division File Clerk at 980 9<sup>th</sup> Street, Suite 500, Sacramento, California 95814 for processing.

Attachment: Incomplete Filing Form